

Title 32: PROFESSIONS AND OCCUPATIONS

Chapter 105: REVISED MAINE SECURITIES

ACT HEADING: PL 2005, c. 65, Pt. A, §1 (rp)

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Maine Revised Statutes
Title 32: PROFESSIONS AND OCCUPATIONS
Chapter 105: REVISED MAINE SECURITIES
ACT HEADING: PL 2005, c. 65, Pt. A, §1 (rp)

Subchapter 1: OFFICE OF SECURITIES AND SECURITIES ADMINISTRATOR
HEADING: PL 2001, C. 182, §9 (RPR); 2005, C. 65, PT. A, §1 (RP)

§10101. SHORT TITLE

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP).
2005, c. 397, §C26 (AFF).

§10102. OFFICE OF SECURITIES

(REPEALED)

SECTION HISTORY

2001, c. 182, §10 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP).
2005, c. 397, §C26 (AFF).

§10103. ADMINISTRATOR AND OTHER PERSONNEL

(REPEALED)

SECTION HISTORY

2001, c. 182, §10 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP).
2005, c. 397, §C26 (AFF).

Subchapter 2: FRAUDULENT AND OTHER PROHIBITED
PRACTICES HEADING: PL 2005, C. 65, PT. A, §1 (RP)

§10201. OFFERS, SALES AND PURCHASES

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP).
2005, c. 397, §C26 (AFF).

§10202. MARKET MANIPULATION

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP).
2005, c. 397, §C26 (AFF).

§10203. PROHIBITED ACTIONS BY INVESTMENT ADVISERS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP).
2005, c. 397, §C26 (AFF).

§10204. MISLEADING FILINGS*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §6 (AMD). 2005, c. 65, §A3 (AFF).
2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

**§10205. UNLAWFUL REPRESENTATIONS CONCERNING LICENSING,
REGISTRATION OR EXEMPTION***(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §7 (AMD). 2005, c. 65, §A3 (AFF).
2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

Subchapter 3: LICENSING OF BROKER-DEALERS, SALES REPRESENTATIVES
AND INVESTMENT ADVISORS HEADING: PL 2005, C. 65, PT. A, §1 (RP)

**§10301. BROKER-DEALER AND SALES REPRESENTATIVE LICENSING
REQUIREMENT***(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §8 (AMD). 1997, c. 168, §1 (AMD).
1999, c. 37, §§1,2 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1
(RP). 2005, c. 397, §C26 (AFF).

§10302. EXEMPT BROKER-DEALERS AND SALES REPRESENTATIVES*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §§1,2 (AMD). 1989, c. 542, §§9,10
(AMD). 1991, c. 82, §1 (AMD). 1997, c. 168, §§2-5 (AMD). 1999, c. 37,
§3 (AMD). 1999, c. 279, §1 (AMD). 2003, c. 201, §§1-3 (AMD). 2005, c.
65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

**§10303. INVESTMENT ADVISER AND INVESTMENT ADVISER
REPRESENTATIVE LICENSING REQUIREMENT***(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §11 (AMD). 1991, c. 82, §2 (AMD).
1997, c. 168, §§6,7 (AMD). 2001, c. 183, §A1 (AMD). 2001, c. 183, §A14
(AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397,
§C26 (AFF).

§10304. EXEMPT INVESTMENT ADVISERS***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §12 (AMD). 1997, c. 168, §§8-10 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10305. APPLICATION***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §3 (AMD). 1989, c. 542, §13 (AMD). 2001, c. 183, §A2 (AMD). 2001, c. 183, §A14 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10305-A. NOTICE FILING***(REPEALED)***

SECTION HISTORY

1997, c. 168, §11 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10306. FEES***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §§14-16 (AMD). 1991, c. 528, §§M1,2 (AMD). 1991, c. 528, §§M5,RRR (AFF). 1991, c. 591, §§M1,2 (AMD). 1991, c. 591, §M5 (AFF). 1993, c. 410, §§K2-4 (AMD). 1999, c. 37, §4 (AMD). 2001, c. 183, §§A3-8 (AMD). 2001, c. 183, §A14 (AFF). 2003, c. 201, §§4-13 (AMD). 2005, c. 12, §§KKKK1-5 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10307. EXAMINATIONS***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §4 (AMD). 1989, c. 542, §17 (AMD). 1991, c. 82, §§3-5 (AMD). 1997, c. 168, §§12-14 (AMD). 2001, c. 183, §§A9,10 (AMD). 2001, c. 183, §A14 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10308. LICENSING***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §§18-20 (AMD). 1991, c. 82, §6 (AMD). 2003, c. 201, §14 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10309. ANNUAL REPORT AND FEE*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §21 (AMD). 1997, c. 168, §15 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10310. POST-LICENSING REQUIREMENTS*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §22 (AMD). 1997, c. 168, §§16,17 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10311. SUCCESSOR FIRMS*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §23 (AMD). 1999, c. 37, §5 (AMD). 2003, c. 201, §15 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10312. INSPECTION POWER*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §24 (AMD). 1997, c. 168, §18 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10313. GROUNDS FOR DENIAL, SUSPENSION, REVOCATION, CANCELLATION AND WITHDRAWAL*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §5 (AMD). 1989, c. 542, §§25,26 (AMD). 1991, c. 82, §7 (AMD). 1997, c. 660, §C1 (AMD). 1999, c. 37, §§6-8 (AMD). 2001, c. 262, §§D1-3 (AMD). 2003, c. 201, §16 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10314. CUSTODY OF CLIENTS' SECURITIES AND FUNDS*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §27 (AMD). 1997, c. 168, §§19,20 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

Subchapter 4: REGISTRATION OF SECURITIES
HEADING: PL 2005, C. 65, PT. A, §1 (RP)

§10401. REGISTRATION REQUIREMENT*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1997, c. 168, §21 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10402. REGISTRATION BY NOTIFICATION*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §28 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10403. REGISTRATION BY COORDINATION*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §6 (AMD). 1989, c. 542, §§29-31 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10404. REGISTRATION BY QUALIFICATION*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1987, c. 592, (AMD). 1989, c. 542, §§32,33 (AMD). 1999, c. 37, §9 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10405. PROVISIONS APPLICABLE TO REGISTRATION GENERALLY*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §34 (AMD). 1991, c. 528, §M3 (AMD). 1991, c. 528, §§M5,RRR (AFF). 1991, c. 591, §M3 (AMD). 1991, c. 591, §M5 (AFF). 1993, c. 410, §K5 (AMD). 2003, c. 201, §17 (AMD). 2003, c. 673, §RRR1 (AMD). 2003, c. 673, §RRR3 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10406. DENIAL, SUSPENSION AND REVOCATION OF REGISTRATION*(REPEALED)*

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §35 (AMD). 2003, c. 201, §18 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

Subchapter 5: GENERAL PROVISIONS
HEADING: PL 2005, C. 65, PT. A, §1 (RP)

§10501. DEFINITIONS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §§36-40 (AMD). 1997, c. 168, §§22,23 (AMD). 1999, c. 37, §§10-12 (AMD). 1999, c. 279, §§2-4 (AMD). 2001, c. 61, §§1,2 (AMD). 2001, c. 183, §A11 (AMD). 2001, c. 183, §A14 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10502. EXEMPTIONS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §§7-9 (AMD). 1989, c. 542, §§41-44 (AMD). 1991, c. 82, §8 (AMD). 1991, c. 528, §M4 (AMD). 1991, c. 528, §M5,RRR (AFF). 1991, c. 591, §M4 (AMD). 1991, c. 591, §M5 (AFF). 1993, c. 257, §10 (AMD). 1997, c. 168, §§24-26 (AMD). 1997, c. 660, §C2 (AMD). 1999, c. 37, §§13,14 (AMD). 1999, c. 279, §§5-8 (AMD). 2001, c. 183, §§B1-4 (AMD). 2003, c. 201, §19 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10503. FILING OF SALES AND ADVERTISING LITERATURE

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §10 (AMD). 1989, c. 542, §45 (AMD). 1997, c. 168, §27 (RP).

§10504. FILING OF SALES AND ADVERTISING LITERATURE

(REPEALED)

SECTION HISTORY

1997, c. 168, §28 (NEW). 1999, c. 279, §9 (AMD). 2003, c. 201, §20 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10505. FEDERAL COVERED SECURITIES

(REPEALED)

SECTION HISTORY

1997, c. 168, §28 (NEW). 2003, c. 201, §§21,22 (AMD). 2003, c. 673, §RRR2 (AMD). 2003, c. 673, §RRR3 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

Subchapter 6: ENFORCEMENT AND CIVIL
LIABILITY HEADING: PL 2005, C. 65, PT. A, §1 (RP)

§10601. INVESTIGATIONS***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §46 (AMD). 1999, c. 37, §15 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10602. ENFORCEMENT OF ACT***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §§47,48 (AMD). 1991, c. 82, §9 (AMD). 1991, c. 509, §§35-37 (AMD). 1997, c. 168, §29 (AMD). 1999, c. 37, §§16,17 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10603. POWER OF COURT TO GRANT RELIEF***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §49 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10604. CRIMINAL PENALTIES***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §§50,51 (AMD). 1991, c. 548, §D8 (AMD). 1997, c. 660, §§C3-5 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10605. CIVIL LIABILITY***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §52 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10606. CIVIL STATUTE OF LIMITATIONS***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10607. RESCISSION AND SETTLEMENT OFFERS***(REPEALED)***

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §53 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10607-A. RIGHT TO RESCISSION APPLICABLE TO SALES OF VIATICAL SETTLEMENT CONTRACTS

(REPEALED)

SECTION HISTORY

1999, c. 279, §10 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10608. MISCELLANEOUS PROVISIONS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §54 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

Subchapter 7: ADMINISTRATION HEADING: PL 2005, C. 65, PT. A, §1 (RP)

§10701. ADMINISTRATION OF ACT

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §11 (AMD). 1989, c. 542, §§55,56 (AMD). 1997, c. 168, §30 (AMD). 1999, c. 184, §21 (AMD). 2003, c. 201, §§23,24 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10702. COOPERATION WITH OTHER AGENCIES

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §57 (AMD). 1999, c. 37, §18 (AMD). 1999, c. 184, §§22,23 (AMD). 2001, c. 182, §11 (AMD). 2003, c. 201, §25 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10703. GENERAL AUTHORITY TO ADOPT RULES, FORMS AND ORDERS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §58 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10704. CONSENT TO SERVICE OF PROCESS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §59 (AMD). 1997, c. 168, §§31-35 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10705. ADVISORY RULINGS; DECLARATORY RULINGS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §60 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10706. ADMINISTRATIVE FILES

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §61 (AMD). 1997, c. 168, §§36,37 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10707. SCOPE OF THE ACT

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1997, c. 168, §38 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10708. PROCEDURE FOR ENTRY OF AN ORDER

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1985, c. 617, §12 (AMD). 1989, c. 542, §§62-65 (AMD). 2001, c. 182, §12 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10709. JUDICIAL REVIEW OF ORDERS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 1989, c. 542, §66 (AMD). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10710. REPEAL AND SAVING PROVISIONS

(REPEALED)

SECTION HISTORY

1985, c. 400, §2 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10711. ACTS OF SUPERINTENDENT OF FINANCIAL INSTITUTIONS

(REPEALED)

SECTION HISTORY

1989, c. 542, §67 (NEW). 2001, c. 44, §11 (AMD). 2001, c. 44, §14 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10712. AUTHORITY TO CHANGE FEES

(REPEALED)

SECTION HISTORY

1993, c. 410, §K6 (NEW). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

§10713. OPERATING FUND

(REPEALED)

SECTION HISTORY

1993, c. 410, §K6 (NEW). 2001, c. 183, §A12 (AMD). 2001, c. 183, §A14 (AFF). 2005, c. 65, §A3 (AFF). 2005, c. 65, §A1 (RP). 2005, c. 397, §C26 (AFF).

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